



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	Examiner: Susan Ungar
	)	
Leonard G. PRESTA, et al.	)	Group Art Unit: 1642
	)	
Application Serial No. 09/966,147	)	Confirmation No.: 4067
	)	
Filed: September 27, 2001	)	Attorney's Docket No. 39766-0033 CPC4C
	)	
For: <b>HUMAN trk RECEPTORS AND</b>	)	<b>Customer No. 25213</b>
<b>NEUROTROPHIC FACTOR</b>	)	
<b>INHIBITORS</b>	)	

EXPRESS MAIL LABEL NO. EL 977 613 106 US  
DATE MAILED: DECEMBER 21, 2004

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

**MAIL STOP RCE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --  
☐ (2) It is being filed within 3 months of entry of a national stage

- OR -

☐ (3) It is being filed before the mail date of the first Office Action on the merits

-- OR --

☒ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

☐ a certification as specified in §1.97(e) is provided; **or**

☐ a fee of **\$180.00** as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed; and

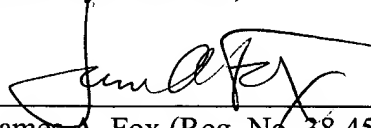
B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**

C. a fee of \$180.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☒ **Fee Authorization.** The Commissioner is hereby authorized to charge the above-referenced fees of **\$0.00** and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. **08-1641** (Attorney's Docket No. **39766-0033 CPC4C**).

Respectfully submitted,

Dated: December 21, 2004

By:   
James A. Fox (Reg. No. 38,455)

**HELLER EHRMAN WHITE & MCAULIFFE LLP**

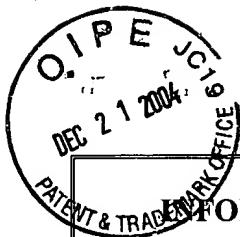
275 Middlefield Road

Menlo Park, California 94025-3506

Telephone: (650) 324-7000

Facsimile: (650) 324-0638

SV 2088519 v1



<b>INFORMATION DISCLOSURE STATEMENT</b>  PTO-1449		<b>ATTY. DOCKET NO.:</b> 39766-0033 CPC4C		<b>SERIAL NO.</b> 09/966,147			
		<b>APPLICANT :</b> Leonard G. PRESTA, et al.					
		<b>FILING DATE:</b> September 27, 2001		<b>GROUP:</b> 1642			
<b>U.S. PATENT DOCUMENTS</b>							
<b>EXAMINER'S INITIALS</b>	<b>PATENT NO.</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>FILING DATE</b>	
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>EXAMINER'S INITIALS</b>	<b>PATENT NO.</b>	<b>DATE</b>	<b>COUNTRY</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>TRANSLATION</b>	
						<b>YES</b>	<b>NO</b>
						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	Babb, T., et al., 1991, "Synaptic Reorganization by Mossy Fibers in Human Epileptic Fascia Dentata," <i>Neuroscience</i> 42:351-363 (1991)						
	Babb, T., "Axonal Growth and Neosynaptogenesis in Human and Experimental Hippocampal Epilepsy," <i>Advances in Neurology</i> Vol. 72, <u>Neuronal Regeneration, Reorganization, and Repair</u> , edited by Frederick Seil, Lippincott-Raven Publishers, Philadelphia (1997), Chapter 5, pages 45-51.						
	Ben-Ari, Y., and Represa, A., "Brief seizure episodes induce long-term potentiation and mossy fibre sprouting in the hippocampus," <i>Trends in Neurosciences</i> 13(8):312-318 (1990)						
	Bengzon, J., et al., "Regulation of Neurotrophin and <i>trkA</i> , <i>trkB</i> and <i>trkC</i> Tyrosine Kinase Receptor Messenger RNA Expression in Kindling," <i>Neuroscience</i> 53(2): 433-446 (1993)						
	McNamara, J., "Cellular and Molecular Basis of Epilepsy," <i>J. Neuroscience</i> 14(6):3413-3424 (1994)						
	Represa, A., et al., "Sprouting of Mossy Fibers in the Hippocampus of Epileptic Human and Rat," <u>Excitatory Amino Acids and Neuronal Plasticity</u> , Ed. Ben-Ari, Plenum Press, New York (1990), pages 419-424						
	Scharfman, H., "Epilepsy as an Example of Neural Plasticity," <i>The Neuroscientist</i> 8(2):154-173 (2002)						
	Zhou, L., et al., "Neurotrophin-3 Expressed <i>In Situ</i> Induces Axonal Plasticity in the Adult Injured Spinal Cord," <i>J. Neuroscience</i> 23(4):1424-1431 (2003)						
<b>EXAMINER</b>			<b>DATE CONSIDERED</b>				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.